

## COLORADO DEPARTMENT OF REGULATORY AGENCIES

### Public Utilities Commission

#### 4 CODE OF COLORADO REGULATIONS (CCR) 723-1

#### PART 1

#### RULES OF PRACTICE AND PROCEDURE

#### **BASIS, PURPOSE, AND STATUTORY AUTHORITY.**

The basis and purpose of these rules is to advise the public, regulated entities, attorneys, and any other person of the Commission's rules of practice and procedure. These rules of practice and procedure are promulgated in order to properly administer and enforce the provisions of Title 40 of the Colorado Revised Statutes and in order to regulate proceedings before the Commission.

The statutory authority for these rules is found in §§ 40-2-108, 40-6-101(1), 40-6-108(2), 40-6-109(5), 40-6-109.5, and 40-6-114(1), C.R.S.

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[signifies omission of unaffected rules]

#### **STANDARDS OF CONDUCT**

##### **1100. Confidentiality**

These rules apply to all persons filing information with    or seeking information from    the Commission. They also apply to the Commission, the Director,    or a presiding officer to the extent they govern the Commission's responses to claims of confidentiality in a formal docket, requests to restrict public inspection of information outside of a formal docket, or requests for information under the Public Records Law.

- (a) All documents, data, information, studies, computer programs, and other matters filed with the Commission in any form in a proceeding, or produced in response to any interrogatories or requests for information, subpoenas, depositions, or other modes of discovery, or produced in response to audit conducted by the Commission or its Staff, and all notes taken or copies made thereof, that are claimed to be a trade secret or confidential in nature (herein referred to as "confidential information") shall be furnished under the terms of this rule. All persons accorded access to such confidential information, shall treat such information as constituting trade secret or confidential information and shall neither use nor disclose such information except for the purpose of the proceeding in which such information is obtained and in accordance with this rule.

- (I) A claim of confidentiality constitutes a representation to the Commission that the claiming party has a reasonable and good faith belief that the subject document or information is, in fact, confidential under applicable law, including §§ 24-72-201 et. seq., C.R.S. If a claim of confidentiality is made in violation of this subparagraph (I), the Commission may impose an appropriate sanction upon the claiming party, including an order to pay to other parties the amount of reasonable expenses incurred because of the claim of confidentiality, including ~~a~~ reasonable attorney's fees.
- (II) The Commission's acceptance of information pursuant to a claim of confidentiality is not, and shall not be construed to be a ruling by the Commission that the subject information is, in fact, confidential.
- (III) ~~To the extent there may be information which~~ If a party believes that information requires extraordinary protection beyond that provided for in these rules, then the party shall submit a motion seeking such extraordinary protection. The motion shall include a description and/or representative sample of the information for which extraordinary protection is sought, and shall state the specific relief requested and the grounds for seeking the relief, ~~the specific relief requested~~, and shall advise all other parties of the request and the subject matter of the material at issue. The motion shall include a showing that the information for which extraordinary protection is sought is highly confidential; that the protection afforded by the Commission's rules governing confidentiality provide insufficient protection for the highly confidential information; and that, if adopted, the extraordinary protections proposed by the movant will afford sufficient protection for the highly confidential information. The motion shall ~~also~~ be accompanied by the specific form of nondisclosure agreement requested by the party. ~~Notwithstanding anything to the contrary in subparagraphs (c)(II) and (III) of this rule, the party shall file only an original and one copy of the description and/or representative sample of the information for which extraordinary protection is sought. The party seeking extraordinary protection for information shall comply with rule 1204(a) in filing the motion. Prior to deciding the motion and as it deems necessary, the Commission may enter an order requiring the filing of additional information, including the filing of a complete version of the information for which extraordinary protection is sought. The party seeking extraordinary protection for information shall bear the burden of proof to establish the need for extraordinary protection. The Commission will consider in camera. The Commission will evaluate the motion and, as applicable, the description of the information, the and/or representative sample of the information, or the complete information in camera. After considering the motion and the circumstances, The Commission may enter an order granting the motion and ordering the extraordinary protection which the Commission, in the exercise of its discretion, deems appropriate; may enter an order denying the motion; or may enter any other appropriate order. Information which is subject to extraordinary protection and which is provided in response to discovery or in response to Staff audit shall not be filed with the Commission. Unless the Commission orders otherwise, a complete version of the document which contains the information which is subject to extraordinary protection shall be filed with the Commission as soon as any one of the following conditions applies: (A) the information is used to support a motion, (B) the information is filed as an exhibit to prefiled testimony, (C) the information is prefiled as an exhibit to be offered at hearing, or (D) the information is offered as an exhibit at hearing. Unless the Commission orders otherwise, an original and either requiring additional information, or disposing of the motion and requiring the party to file a complete version and an appropriate number of copies of the information~~

~~for which extraordinary protection is sought (the default number of copies is seven) copies of the complete version of the document which contains the information which is subject to extraordinary protection shall be filed. The information shall be filed in accordance with the procedures established in paragraph (c) of this rule. In ordering the number of copies to be filed, the Commission will consider the needs of its commissioners, administrative law judges, and trial, advisory, and administrative staff. Unless otherwise ordered by the Commission, its staff shall have access to all information filed under this subparagraph (III) by virtue of the annual nondisclosure agreement executed under paragraph (g) of this rule.~~

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[signifies omission of unaffected rules]

(c) Procedure for filing.

- (I) A party submitting to the Commission information claimed to be confidential ~~to the Commission~~ shall file, as part of the public record (*i.e.*, not under seal), the required number of copies of its ~~testimony and/or exhibits~~ filing, according to the Commission's Rules of Practice and Procedure and without including the information claimed to be confidential. The first page of each of these copies shall be ~~stamped~~ labeled: "NOTICE ~~of~~ OF CONFIDENTIALITY: A PORTION OF THIS DOCUMENT HAS BEEN FILED UNDER SEAL." ~~A~~ The cover page ~~on of~~ each copy of the document filed in the public record shall ~~include a list of the each~~ documents filed under seal, shall list each page number of each document on which confidential material is found, and shall indicate the nature of the documents which are filed under seal, so that if the documents are separated from the envelope it will still be clear that they are claimed to be confidential. ~~Otherwise, p~~ Parties shall make only general references to information claimed to be confidential in their testimony and exhibits, in other filings, and in oral presentations.
- (II) In addition to the copies available for public inspection, the filing party shall file under seal an original and seven copies of the information claimed to be confidential. All pages and copies of the information claimed to be confidential shall be clearly marked as "confidential" and shall be filed on microfilmable paper (*i.e.*, pastel or white, and not ~~on~~ dark colored paper such as goldenrod). The documents containing information claimed to be confidential shall be clearly marked so that, should the documents be separated from the envelope, it is clear that the documents are claimed to be confidential.
- (III) The ~~eight original and seven~~ copies filed under seal shall be submitted in separate, sealed envelopes numbered serially. Unless the Commission orders otherwise, the envelopes shall be no smaller than 9" by 12", and no larger than 10" by 13". The following information shall be written on the outside of each sealed envelope:
  - (A) the caption and docket number of the associated proceeding and the notation "CONFIDENTIAL -- SUBMITTED IN DOCKET NO. \_\_\_\_\_"
  - (B) the name of the filing party;

- (C) the date of filing;
- (D) a description of the information (e.g., testimony or exhibits of \_\_\_\_\_ (name of witness), statement of position, motion);
- (E) the filing party's statement as to whether it prefers to retrieve the information following conclusion of Commission proceedings and any related court actions, or it prefers to have whether the Commission ~~should~~ destroy the information by shredding following conclusion of Commission proceedings and any related court actions; and
- (F) if the party chooses to retrieve the information, in accordance with the statement contained in subparagraph (III)(E), the name and phone number of the person who will retrieve such information.

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[signifies omission of unaffected rules]

- (g) No access to information under seal shall be allowed until the person, who is either a party or an authorized agent of a party, and who is seeking such access, signs a nondisclosure agreement on a form approved by the Commission. The ~~N~~nondisclosure ~~A~~agreement form shall require the persons to whom disclosure is to be made (the signatory) to certify in writing that ~~they~~the signatory has ~~ve~~ read the protective provisions contained in rules 1100 - 1102 and agrees to be bound by the terms of ~~such~~those provisions. The agreement shall contain (1) ~~a listing of the caption and associated~~doctet number of the associated docket; (2) the signatory's full name, title, employer or firm, and business address; (3) the name of the party with whom the signatory is associated; (4) ~~at~~the signatory's signature and the date of execution of the nondisclosure agreement; and (5) with the exception of Staff, the signature of the associated party's counsel. The agreement shall be delivered to counsel for the filing party and ~~shall be filed with~~ the Commission at or before the time of review of the documents. Notwithstanding anything in this rule to the contrary, each member of Commission sStaff need only sign one nondisclosure agreement annually. The annual nondisclosure agreement which each Staff member executes shall include a provision which requires Staff to maintain and to treat information to which the Commission has granted extraordinary protection pursuant to subparagraph (a)(III) of this rule in accordance with the order granting extraordinary protection. Signing such an annual nondisclosure agreement shall permit sa Staff member to have access to all confidential material filed with or provided to the Commission and to have access to all information to which the Commission has granted extraordinary protection pursuant to subparagraph (a)(III) of this rule. The Commission shall maintain in its files the annual nondisclosure agreements signed by ~~s~~Staff and shall make such agreements available for public inspection. All persons, including Staff, who are afforded access to any information under seal shall take all reasonable precautions to keep the confidential information secure in accordance with the purpose and intent of this rule. All persons, including Staff, who are afforded access to information to which the Commission has granted extraordinary protection pursuant to subparagraph (a)(III) of this rule shall maintain and shall treat that information in accordance with the protections specified in the order.

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[signifies omission of unaffected rules]

## PRE-HEARING PROCEDURE

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[signifies omission of unaffected rules]

### 1401. Intervention.

- (a) Except as provided by paragraph (d) of this rule, any person may file a notice of intervention as of right or a motion to ~~permissively~~ intervene by permission within 30 days of notice of any docketed proceeding, unless the Commission's notice or a specific rule or statute provides otherwise. The Commission shall not enter a final decision in any docketed proceeding before the intervention period has expired. The Commission may, for good cause shown, allow late intervention, subject to reasonable procedural requirements. The Commission may consider any application or petition without a hearing if these three conditions are met: (1) no notice of intervention as of right ~~or~~ and no motion to ~~permissively~~ intervene by permission requests a hearing; ~~or~~ (2) no notice of intervention as of right and no motion to intervene by permission contests or opposes the application or petition; and (3) a hearing is not required by law. To be effective, the request for hearing must be stated explicitly in the body of the notice of intervention as of right or in the body of the motion to intervene by permission.

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[signifies omission of unaffected rules]